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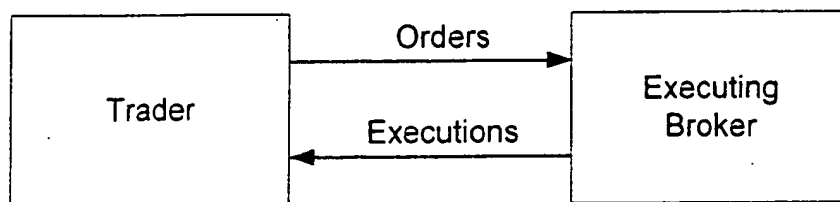


Fig. 1 (Prior Art)

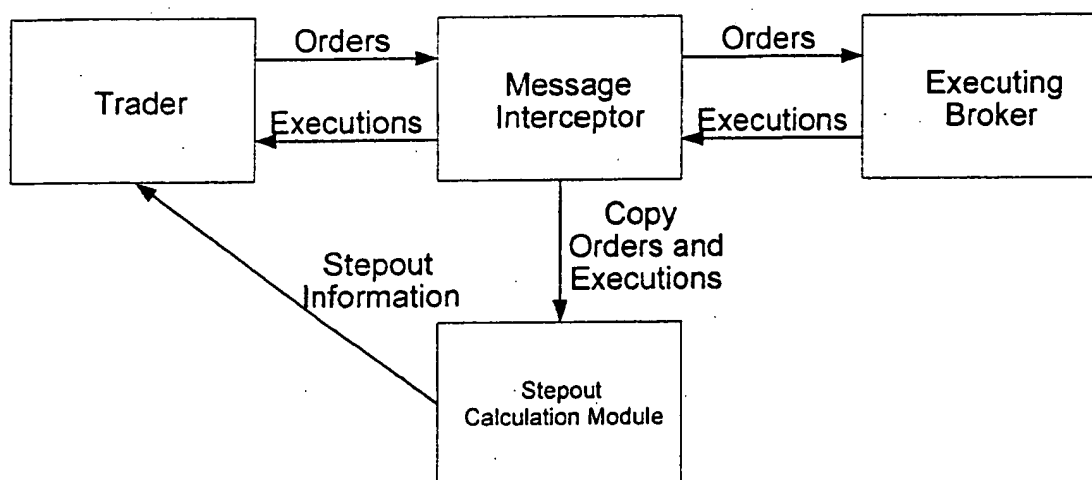


Fig. 2

Title:

SYSTEM FOR PROVIDING STEP OUT  
COMMISSIONS AND COMPENSATION  
FOR RESEARCH BROKERS

EXPRESS MAIL  
EL 988617934 US

Inventor:

Hansen, et al.; Docket No.: 1100-074

127 102 103 104 105 106 107 108 109 110

SideKick v0.3a90

Exec Quality Millennium Payments Budget Brokers Recapture

Broker	Executing	Anonymous	Step-in	Step-out	Net
FIF	\$30,390.00				\$30,390.00
MONT	\$882.00				\$882.00
FBCO	\$612.00				\$612.00
BERM	\$410.00				\$410.00
SBSH	\$250.00				\$250.00
KILO	\$153.00				\$153.00
UBSW	\$123.00				\$123.00
WACH	\$76.00				\$76.00
MAX					
CCMC					
MOKE					
SRC					
VNDM					
AVON					
GIRL					
DRKW					

Order Qty 300000

EO	Sym	ExeQty	StepQty	Rate
Q	AA	63000	151216	\$0.03
Q	C	500000		\$0.03
Q	PCG	300000	600000	\$0.03
Q	SAP	150000		\$0.03

Broker Stepout Qty Stepout \$

211 2112 2113

Fidelity Capital Markets

Overview Stepout AutoStepout

115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180 181 182 183 184 185 186 187 188 189 190 191 192 193 194 195 196 197 198 199 200

201 202 203 204 205 206 207 208 209 210 211

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Exec Quality

Millennium

Payments

Budget

Brokers

Recapture

EQ	Broker	Symbol	Ord Qty	Step Qty	Rate	From	To	Symbol	Stepout Qty	Stepout \$
<input type="checkbox"/>	FIFI	AA	302433		\$0.03	FIFI	FBCO	AA	63000	\$1,890.00
<input type="checkbox"/>	BERN	CAT	80000		\$0.05	UBSW	MONT	CAT	4100	\$123.00
<input type="checkbox"/>	FIFI	C	500000		\$0.03					
<input type="checkbox"/>	MONT	MSFT	74000		\$0.06					
<input type="checkbox"/>	FBCO	PFE	65000		\$0.06					
<input type="checkbox"/>	MLCO	WMT	36000		\$0.03					
<input type="checkbox"/>	FIFI	PCG	1200000		\$0.03					
<input type="checkbox"/>	FIFI	SAP	300000		\$0.03					
<input type="checkbox"/>	SBSH	LYG	21000		\$0.05					
<input type="checkbox"/>	UBSW	CAT	97000		\$0.03					
<input type="checkbox"/>	MONT	GE	64000		\$0.06					
<input type="checkbox"/>	FBCO	LYG	59000		\$0.06					
<input type="checkbox"/>	BERN	XOM	70000		\$0.05					
<input type="checkbox"/>	MONT	GE	74000		\$0.06					
<input type="checkbox"/>	FBCO	BP	89000		\$0.06					
<input type="checkbox"/>	WACH	JNJ	89000		\$0.04					

Stepout

Print Report

Title:

SYSTEM FOR PROVIDING STEP OUT  
COMMISSIONS AND COMPENSATION  
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301 x 302 / 303 304  
SIDEKICK v0.3a90

Exec Quality / Millennium / Payments / Budget / Brokers / Recapture

Payment Method:  
☒ Executing commissions only  
☐ Traditional step-in  
☐ Anonymous step-in via Nylfix  
☐ Direct "hard dollar" payments

Payment Interval:  
☐ Immediately (upon clearing)  
☐ Weekly  
☐ Start of month  
☐ Middle of month  
☐ End of month  
☐ Accrual of

Commission Rate (cents): 30.00 - 54  
Commission Recapture:  
☒ No commission recapture  
☐ As Ratio  
☐ From Fixed Base

Step Outs:  
☒ Allow stepouts from this firm.  
Max % Stepout (long term): 30%  
Max % Stepout (single trade): 30%

Client Directions: 301 x 302 / 303 304

Client	Account No.	% Order Qty
1 FBDO	Credit Suisse First Boston	
1 UBSW	UBS Warburg	
1 MLCO	Merrill Lynch	
1 GSCO	Goldman Sachs	
1 SSSH	Salomon Smith Barney	
2 MONT	Bank of America Securities	
2 BERH	Sanford C. Bernstein & Co., Inc.	
2 WACH	Wachovia Securities	
2 DBCC	Deutsche Bank	
2 FIFI	Fidelity Capital Markets	
3 INGB	ING Barings	
3 SFSS	San Francisco Sentry	

Stop Sim  
Performance / Settings / Notification

Cancel / Apply

Page 3

42 \$06

7. Sidekick v0.3a8

Execution Quality Payments Budget Brokers

MPID	Full Name

Sold Dollars

Commission Notification Report

Be advised you have been stepped out \$payment from \$ourfirm.  
Payment will be wired by Nyfix Transaction Services at the close  
of business today.

Any problems, contact the Nyfix help desk 1-800-NYFIX

Best regards,

Joe Trader,  
\$ourfirm

Notification

- ☐ When actual payments are made
- ☐ Whenever commission is accrued
- ☐ End of Week
- ☐ End of Month
- ☐ Whenever account accrues multiple of \$500.00

Performance Settings Notification

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EXPRESS MAIL  
EL 988617934 US

Fig 6



EXPRESS MAIL  
EL 988617934 US

**Hansen, et al.; Docket No.:1100-074**

F19 Z

419

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Sidekick v0.3.190

Exec Quality Millennium Payments Budget Brokers Recapture

Estimated share of total commission "pie" for each firm. The exact amount to be paid is determined when you authorize the payment.

Rk	Broker	Target %	Target \$	Actual \$
1	FBCO	4.00%	\$140,000.00	\$63,182.00
1	UBSW	5.00%	\$175,000.00	\$114,623.00
1	MLCO	5.00%	\$175,000.00	\$44,150.00
1	GSCO	6.00%	\$210,000.00	\$52,562.00
1	SBSH	4.00%	\$140,000.00	\$35,150.00
2	MONT	3.00%	\$105,000.00	\$58,015.00
2	BERN	3.00%	\$105,000.00	\$26,996.00
2	WACH	3.00%	\$105,000.00	\$68,456.00
2	DBCC	3.00%	\$105,000.00	\$69,227.00
2	FIFI	3.00%	\$105,000.00	\$68,250.00
3	INGB	2.50%	\$87,500.00	\$22,447.00
3	SFSS	2.50%	\$87,500.00	\$57,578.00
3	AVS	2.50%	\$87,500.00	\$48,405.00
3	ADAM	2.50%	\$87,500.00	\$39,433.00
3	RAJA	3.00%	\$105,000.00	\$36,871.00
4	OPCO	2.00%	\$70,000.00	\$45,938.00
4	SCHB	2.50%	\$87,500.00	\$22,161.00

Credit Suisse First Boston

Estimated commission budget for one year. The budget can be changed at any time. The numbers are used by the system to auto-calculate step-outs and anonymous commission payments.

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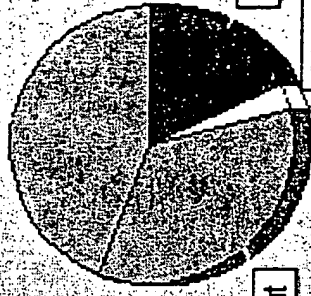
Estimated total commission for year: \$3,500.00

Unallocated commission: \$630.00

SYSTEM FOR PROVIDING STEP OUT COMMISSIONS AND COMPENSATION FOR RESEARCH BROKERS

EXPRESS MAIL EL 988617934 US

44% Executing



35% Stepout

18% Discret

3% Soft

Fig 8